

**FEC
FORM 3X****REPORT OF RECEIPTS
AND DISBURSEMENTS**
For Other Than An Authorized Committee

Office Use Only

1. NAME OF COMMITTEE (in full) TYPE OR PRINT ▼ Example: If typing, type over the lines. 12FE4M5

Securities Industry and Financial Markets Association Political Action Committee

ADDRESS (number and street) ▼

1101 New York Avenue, NW

8th Floor

☐ Check if different than previously reported. (ACC)

Washington

DC

20005

2. FEC IDENTIFICATION NUMBER ▼ CITY ▲ STATE ▲ ZIP CODE ▲

C C00431312

3. IS THIS
REPORT☒NEW
(N)

OR

☐AMENDED
(A)

4. TYPE OF REPORT

(Choose One)

(a) Quarterly Reports:

☐ April 15
Quarterly Report (Q1)☐ July 15
Quarterly Report (Q2)☐ October 15
Quarterly Report (Q3)☐ January 31
Year-End Report (YE)☐ July 31 Mid-Year
Report (Non-election
Year Only) (MY)☐ Termination Report
(TER)(b) Monthly
Report
Due On:☐ Feb 20 (M2)☐ May 20 (M5)☐ Aug 20 (M8)☐ Nov 20 (M11)
(Non-Election
Year Only)☐ Mar 20 (M3)☐ Jun 20 (M6)☒ Sep 20 (M9)☐ Dec 20 (M12)
(Non-Election
Year Only)☐ Apr 20 (M4)☐ Jul 20 (M7)☐ Oct 20 (M10)☐ Jan 31 (YE)

(c) 12-Day

PRE-Election

Report for the:

☐ Primary (12P)☐ Convention (12C)☐ General (12G)☐ Special (12S)☐ Runoff (12R)

Election on

M M M / D D D / Y Y Y Y Y Y

in the
State of

(d) 30-Day

POST-Election

Report for the:

☐ General (30G)☐ Runoff (30R)☐ Special (30S)

Election on

M M M / D D D / Y Y Y Y Y Y

in the
State of

5. Covering Period

M M M / D D D / Y Y Y Y Y Y
08 01 2014

through

M M M / D D D / Y Y Y Y Y Y
08 31 2014

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer Mr. Kenneth E. Bentsen Jr.

Signature of Treasurer

Mr. Kenneth E. Bentsen Jr.

[Electronically Filed]

Date

M M M / D D D / Y Y Y Y Y Y
09 19 2014

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C. §437g.

Office
Use
Only**FEC FORM 3X**
Rev. 12/2004

SUMMARY PAGE OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003)

Page 2

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period: From: M M / D D / Y Y Y Y Y 08 / 01 / 2014 To: M M / D D / Y Y Y Y Y 08 / 31 / 2014

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1, Y Y Y Y Y 2014		249148.88
(b) Cash on Hand at Beginning of Reporting Period.....	200128.98	
(c) Total Receipts (from Line 19)	27290.64	305968.54
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B).....	227419.62	555117.42
7. Total Disbursements (from Line 31)	18948.77	346646.57
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	208470.85	208470.85
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	

☒ This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

For further information contact:

Federal Election Commission
999 E Street, NW
Washington, DC 20463

Toll Free 800-424-9530
Local 202-694-1100

DETAILED SUMMARY PAGE of Receipts

FEC Form 3X (Rev. 06/2004)

Page 3

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period:

From:

M M	/	D D	/	Y Y Y Y
08		01		2014

To:

M M	/	D D	/	Y Y Y Y
08		31		2014

I. Receipts
COLUMN A
Total This Period

COLUMN B
Calendar Year-to-Date

11. Contributions (other than loans) From:

(a) Individuals/Persons Other

Than Political Committees

(i) Itemized (use Schedule A).....

8269.86

226337.93

(ii) Unitemized

657.90

10936.69

(iii) TOTAL (add

Lines 11(a)(i) and (ii)..... ►

8927.76

237274.62

(b) Political Party Committees

0.00

0.00

(c) Other Political Committees

(such as PACs).....

15000.00

62000.00

(d) Total Contributions (add Lines

11(a)(iii), (b), and (c)) (Carry

Totals to Line 33, page 5) ►

23927.76

299274.62

12. Transfers From Affiliated/Other

Party Committees.....

0.00

0.00

13. All Loans Received

0.00

0.00

14. Loan Repayments Received.....

0.00

0.00

15. Offsets To Operating Expenditures

(Refunds, Rebates, etc.)

(Carry Totals to Line 37, page 5).....

1237.88

3568.92

16. Refunds of Contributions Made

to Federal Candidates and Other

Political Committees.....

2125.00

3125.00

17. Other Federal Receipts

(Dividends, Interest, etc.).....

0.00

0.00

18. Transfers from Non-Federal and Levin Funds

(a) Non-Federal Account

(from Schedule H3).....

0.00

0.00

(b) Levin Funds (from Schedule H5)

0.00

0.00

(c) Total Transfers (add 18(a) and 18(b))..

0.00

0.00

19. Total Receipts (add Lines 11(d),
12, 13, 14, 15, 16, 17, and 18(c))..... ►

27290.64

305968.54

20. Total Federal Receipts

(subtract Line 18(c) from Line 19) ►

27290.64

305968.54

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 4

II. Disbursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Allocated Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures	948.77	4146.57
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))	948.77	4146.57
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	18000.00	342500.00
24. Independent Expenditures (use Schedule E)	0.00	0.00
25. Coordinated Party Expenditures (2 U.S.C. §441a(d)) (use Schedule F).....	0.00	0.00
26. Loan Repayments Made.....	0.00	0.00
27. Loans Made.....	0.00	0.00
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees	0.00	0.00
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs).....	0.00	0.00
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c)).....	0.00	0.00
29. Other Disbursements	0.00	0.00
30. Federal Election Activity (2 U.S.C. §431(20))		
(a) Allocated Federal Election Activity (from Schedule H6)		
(i) Federal Share	0.00	0.00
(ii) "Levin" Share.....	0.00	0.00
(b) Federal Election Activity Paid Entirely With Federal Funds	0.00	0.00
(c) Total Federal Election Activity (add .. Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c)) ..	18948.77	346646.57
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	18948.77	346646.57

DETAILED SUMMARY PAGE
of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) (from Line 11(d), page 3)	23927.76	299274.62
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	23927.76	299274.62
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)) ►	948.77	4146.57
37. Offsets to Operating Expenditures (from Line 15, page 3).....	1237.88	3568.92
38. Net Operating Expenditures (subtract Line 37 from Line 36) ►	-289.11	577.65

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 6 OF 27

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. R. Carlson

Mailing Address 787 7th Avenue

City

New York

State

NY

Zip Code

10019-6018

FEC ID number of contributing
federal political committee.

C

Name of Employer

D.A. Davidson & Company

Occupation

Financial Advisor

Receipt For:

☐ Primary
☐ Other (specify) ▼

General

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 01 / 2014

Transaction ID : 21923304

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Ms. Candice Koederitz

Mailing Address 1585 Broadway

City

New York

State

NY

Zip Code

10036-8200

FEC ID number of contributing
federal political committee.

C

Name of Employer

Morgan Stanley

Occupation

Managing Director

Receipt For:

☐ Primary
☐ Other (specify) ▼

General

Aggregate Year-to-Date ▼

750.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 11 / 2014

Transaction ID : 21942715

Amount of Each Receipt this Period

750.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mr. Paul J. Leyden

Mailing Address 18 Powder Hill Road

City

Bedford

State

NH

Zip Code

03110-4845

FEC ID number of contributing
federal political committee.

C

Name of Employer

RBC Wealth Management

Occupation

Managing Director

Receipt For:

☐ Primary
☐ Other (specify) ▼

General

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 15 / 2014

Transaction ID : 21947124

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

1500.00

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 7 OF 27

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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Kenneth E. Bentsen Jr.

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3077.60

Date of Receipt

M M / D D / Y Y Y Y Y
08 / 06 / 2014

Transaction ID : 21947129

Amount of Each Receipt this Period

192.35

Full Name (Last, First, Middle Initial)

B. Ms. Lisa Bleier

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

307.68

Date of Receipt

M M / D D / Y Y Y Y Y
08 / 06 / 2014

Transaction ID : 21947130

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

C. Ms. Kyle Brandon

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director, DOR

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1538.40

Date of Receipt

M M / D D / Y Y Y Y Y
08 / 06 / 2014

Transaction ID : 21947131

Amount of Each Receipt this Period

96.15

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

307.73

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ms Kim Chamberlain

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

616.00

Date of Receipt

08 / 06 / 2014

Transaction ID : 21947133

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

B. David L Cohen

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

346.50

Date of Receipt

08 / 06 / 2014

Transaction ID : 21947135

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

C. Ms. Cheryl Crispen

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4279

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Executive Vice President, Communicatio

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1538.40

Date of Receipt

08 / 06 / 2014

Transaction ID : 21947136

Amount of Each Receipt this Period

96.15

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

173.15

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER: PAGE 9 OF 27

(check only one)

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ms. Bradley Gaskins Edgell

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

616.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 06 / 2014

Transaction ID : 21947137

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

B. Tracy Eichler

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

307.68

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 06 / 2014

Transaction ID : 21947138

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

C. Ms. Lisa Fues

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

307.68

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 06 / 2014

Transaction ID : 21947139

Amount of Each Receipt this Period

19.23

SUBTOTAL of Receipts This Page (optional)..... ►

76.96

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER:
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Marin E. Gibson

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director & Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1230.72

Date of Receipt

08 / 06 / 2014

Transaction ID : 21947140

Amount of Each Receipt this Period

76.92

Full Name (Last, First, Middle Initial)

B. Ms. Nancy Donohoe Lancia

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director, State Govt. Affairs

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

616.00

Date of Receipt

08 / 06 / 2014

Transaction ID : 21947141

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

C. Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

4519.25

Date of Receipt

08 / 06 / 2014

Transaction ID : 21947142

Amount of Each Receipt this Period

288.46

SUBTOTAL of Receipts This Page (optional)..... ►

403.88

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Payson R. Peabody

Mailing Address 1101 New York Avenue, NW
8th Floor

City State Zip Code
Washington DC 20005-4279

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

616.00

Date of Receipt

M M / D D / Y Y Y Y Y
08 / 06 / 2014

Transaction ID : 21947143

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

B. Mr. Thomas F Price

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

731.38

Date of Receipt

M M / D D / Y Y Y Y Y
08 / 06 / 2014

Transaction ID : 21947144

Amount of Each Receipt this Period

76.96

Full Name (Last, First, Middle Initial)

C. Mr. Joseph M. Vaughan

Mailing Address 1101 New York Avenue, NW
Suite 800

City State Zip Code
Washington DC 20005-4279

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

462.00

Date of Receipt

M M / D D / Y Y Y Y Y
08 / 06 / 2014

Transaction ID : 21947146

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

153.96

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER:
(check only one)

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☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Tom Sagissor

Mailing Address 332 Melville Ct, N.

City
Stillwater

State
MN

Zip Code
55082-3929

FEC ID number of contributing
federal political committee.

C

Name of Employer

RBC Wealth Management

Occupation

Regional Director - Midwest

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

08 / 25 / 2014

Transaction ID : 21954063

Amount of Each Receipt this Period

500.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mr. Eric F. Grossman

Mailing Address 58 Willow Avenue

City

Larchmont

State

NY

Zip Code

10538-3642

FEC ID number of contributing
federal political committee.

C

Name of Employer

Morgan Stanley

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

08 / 25 / 2014

Transaction ID : 21954064

Amount of Each Receipt this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mr. Gregory Fleming

Mailing Address 4 World Financial Center
8th Floor

City

New York

State

NY

Zip Code

10080-1001

FEC ID number of contributing
federal political committee.

C

Name of Employer

Morgan Stanley

Occupation

President, Global Markets and Investme

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

08 / 28 / 2014

Transaction ID : 21958819

Amount of Each Receipt this Period

2000.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

3500.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

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☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Ward D. Ring

Mailing Address 5223 Larada Lane

City

Edina

State

MN

Zip Code

55436-1082

FEC ID number of contributing
federal political committee.

C

Name of Employer

RBC Wealth Management

Occupation

Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

08 / 29 / 2014

Transaction ID : 21979129

Amount of Each Receipt this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mr. Kenneth E. Bentsen Jr.

Mailing Address 1101 New York Ave, NW
8th Floor

City

Washington

State

DC

Zip Code

20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3269.95

Date of Receipt

08 / 20 / 2014

Transaction ID : 22009339

Amount of Each Receipt this Period

192.35

Full Name (Last, First, Middle Initial)

C. Ms. Lisa Bleier

Mailing Address 1101 New York Ave, NW
8th Floor

City

Washington

State

DC

Zip Code

20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

326.91

Date of Receipt

08 / 20 / 2014

Transaction ID : 22009340

Amount of Each Receipt this Period

19.23

SUBTOTAL of Receipts This Page (optional)..... ►

1211.58

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ms. Kyle Brandon

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director, DOR

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1634.55

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 20 / 2014

Transaction ID : 22009341

Amount of Each Receipt this Period

96.15

Full Name (Last, First, Middle Initial)

B. Ms Kim Chamberlain

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

654.50

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 20 / 2014

Transaction ID : 22009343

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

C. David L Cohen

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

385.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 / 20 / 2014

Transaction ID : 22009345

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

173.15

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ms. Cheryl Crispen

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4279

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Executive Vice President, Communicatio

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1634.55

Date of Receipt

08 / 20 / 2014

Transaction ID : 22009346

Amount of Each Receipt this Period

96.15

Full Name (Last, First, Middle Initial)

B. Ms. Bradley Gaskins Edgell

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

654.50

Date of Receipt

08 / 20 / 2014

Transaction ID : 22009347

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

C. Tracy Eichler

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

326.91

Date of Receipt

08 / 20 / 2014

Transaction ID : 22009348

Amount of Each Receipt this Period

19.23

SUBTOTAL of Receipts This Page (optional)..... ►

153.88

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ms. Lisa Fues

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

326.91

Date of Receipt

08 / 20 / 2014

Transaction ID : 22009349

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

B. Marin E. Gibson

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director & Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1307.64

Date of Receipt

08 / 20 / 2014

Transaction ID : 22009350

Amount of Each Receipt this Period

76.92

Full Name (Last, First, Middle Initial)

C. Ms. Nancy Donohoe Lancia

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director, State Govt. Affairs

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

654.50

Date of Receipt

08 / 20 / 2014

Transaction ID : 22009351

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

134.65

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Theodore Lazo

Mailing Address 3101 Northampton Street NW

City

Washington

State

DC

Zip Code

20015-1608

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

288.50

Date of Receipt

08 / 20 / 2014

Transaction ID : 22009352

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

B. Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW
8th Floor

City

Washington

State

DC

Zip Code

20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

4807.71

Date of Receipt

08 / 20 / 2014

Transaction ID : 22009353

Amount of Each Receipt this Period

288.46

Full Name (Last, First, Middle Initial)

C. Mr. Payson R. Peabody

Mailing Address 1101 New York Avenue, NW
8th Floor

City

Washington

State

DC

Zip Code

20005-4279

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

654.50

Date of Receipt

08 / 20 / 2014

Transaction ID : 22009354

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

365.46

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Thomas F Price

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

808.34

Date of Receipt

M M / D D / Y Y Y Y Y
08 / 20 / 2014

Transaction ID : 22009355

Amount of Each Receipt this Period

76.96

Full Name (Last, First, Middle Initial)

B. Mr. Joseph M. Vaughan

Mailing Address 1101 New York Avenue, NW
Suite 800

City State Zip Code
Washington DC 20005-4279

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

M M / D D / Y Y Y Y Y
08 / 20 / 2014

Transaction ID : 22009357

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y

Amount of Each Receipt this Period

SUBTOTAL of Receipts This Page (optional)..... ►

115.46

TOTAL This Period (last page this line number only)..... ►

8269.86

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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for each category of the
Detailed Summary Page

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☐ 11a ☐ 11b ☒ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. J.P. Morgan Chase & Co. Political Action Committee

Mailing Address 10 South Dearborn Streer
IL 1-0520

City State Zip Code
Chicago IL 60603

FEC ID number of contributing
federal political committee.

C C00128512

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

08 / 11 / 2014

Transaction ID : 21942720

Amount of Each Receipt this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

B. The Charles Schwab Corporation PAC

Mailing Address 101 Montgomery Street

City State Zip Code
San Francisco CA 94101

FEC ID number of contributing
federal political committee.

C C00370114

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

08 / 15 / 2014

Transaction ID : 21947127

Amount of Each Receipt this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

C. UBS Americas Fund for Better Government

Mailing Address 1285 Avenue of the Americas
14th Floor

City State Zip Code
New York NY 10019

FEC ID number of contributing
federal political committee.

C C00012245

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

08 / 01 / 2014

Transaction ID : 22010973

Amount of Each Receipt this Period

5000.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

15000.00

15000.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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☐ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Securities Industry and Financial Markets Association

Mailing Address 120 Broadway
Floor 35

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2620.15

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 01 2014

Transaction ID : 21923308

Amount of Each Receipt this Period

289.11

Reimbursement of Bank Fees

Full Name (Last, First, Middle Initial)

B. Securities Industry and Financial Markets Association

Mailing Address 120 Broadway
Floor 35

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3568.92

Date of Receipt

M M / D D / Y Y Y Y Y Y
08 29 2014

Transaction ID : 21979124

Amount of Each Receipt this Period

948.77

Reimbursement of Bank Fees

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1237.88

1237.88

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Cantor For Congress

Mailing Address P.O. Box 17813

City State Zip Code
 Richmond VA 23226

FEC ID number of contributing
federal political committee.

C C00355461

Name of Employer

Occupation

Receipt For: 2014

☐ Primary ☒ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2125.00

Date of Receipt

08 / 15 / 2014

Transaction ID : 21947105

Amount of Each Receipt this Period

2125.00

Refund of 3/4/14 Contribution

Full Name (Last, First, Middle Initial)

B.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

/ /

Amount of Each Receipt this Period

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

/ /

Amount of Each Receipt this Period

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

2125.00

2125.00

SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTSUse separate schedule(s)
for each category of the
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☐ 27 ☐ 28a ☐ 28b ☐ 28c ☐ 29 ☐ 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. PNC Bank

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	8			0	4			2	0	1	4		

Mailing Address 1400 K Street, NW

City	State	Zip Code
Washington	DC	20005

Transaction ID : 22007695Purpose of Disbursement
Credit Card Fees

001

Amount of Each Disbursement this Period

Candidate Name

Category/
Type

339.08

Office Sought:	<input type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President
State:	District:

Disbursement For:	<input type="checkbox"/> Primary	<input type="checkbox"/> General
	<input type="checkbox"/> Other (specify) ▼	

Credit Card Fees

Full Name (Last, First, Middle Initial)

B. PNC Bank

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	8			0	5			2	0	1	4		

Mailing Address 1400 K Street, NW

City	State	Zip Code
Washington	DC	20005

Transaction ID : 22007697Purpose of Disbursement
Credit Card Fees

001

Amount of Each Disbursement this Period

Candidate Name

Category/
Type

556.11

Office Sought:	<input type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President
State:	District:

Disbursement For:	<input type="checkbox"/> Primary	<input type="checkbox"/> General
	<input type="checkbox"/> Other (specify) ▼	

Credit Card Fees

Full Name (Last, First, Middle Initial)

C. PNC Bank

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	8			0	4			2	0	1	4		

Mailing Address 1400 K Street, NW

City	State	Zip Code
Washington	DC	20005

Transaction ID : 22007712Purpose of Disbursement
Bank Fees

001

Amount of Each Disbursement this Period

Candidate Name

Category/
Type

53.58

Office Sought:	<input type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President
State:	District:

Disbursement For:	<input type="checkbox"/> Primary	<input type="checkbox"/> General
	<input type="checkbox"/> Other (specify) ▼	

Bank Fees

SUBTOTAL of Disbursements This Page (optional)..... ►

948.77

TOTAL This Period (last page this line number only)..... ►

948.77

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Connolly For Congress

Mailing Address PO Box 563

City	State	Zip Code
Merrifield	VA	22116

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Gerald E. ConnollyCategory/
TypeOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2014
☐ Primary ☒ General
☐ Other (specify) ▼

State: VA District: 11

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
08		13		2014

Transaction ID : 21944707

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Kind For Congress Committee

Mailing Address 205 5th Avenue South

City	State	Zip Code
La Crosse	WI	54601

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Ron KindCategory/
TypeOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2014
☐ Primary ☒ General
☐ Other (specify) ▼

State: WI District: 03

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
08		13		2014

Transaction ID : 21944718

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Richard E Neal For Congress Committee

Mailing Address 76 Magnolia Terrace

City	State	Zip Code
Springfield	MA	01108

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Richard E. NealCategory/
TypeOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2014
☐ Primary ☒ General
☐ Other (specify) ▼

State: MA District: 02

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
08		13		2014

Transaction ID : 21944719

Amount of Each Disbursement this Period

1000.00

Contribution

SUBTOTAL of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

3000.00

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**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 24 OF 27

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Tim Walz For Us Congress

Mailing Address PO Box 938

City	State	Zip Code
Mankato	MN	56002

Purpose of Disbursement
Contribution

Candidate Name

Rep. Timothy J. WalzOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2014
☐ Primary ☒ General
☐ Other (specify) ▼

State: MN District: 01

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
08		13		2014

Transaction ID : 21944724

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Sherman For Congress

Mailing Address 777 S. Figueroa St., Ste. 4050

City	State	Zip Code
Los Angeles	CA	90017

Purpose of Disbursement
Contribution

Candidate Name

Rep. Brad ShermanOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2014
☐ Primary ☒ General
☐ Other (specify) ▼

State: CA District: 27

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
08		13		2014

Transaction ID : 21944726

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Scalise For Congress

Mailing Address PO Box 23219

City	State	Zip Code
Jefferson	LA	70183

Purpose of Disbursement
Contribution

Candidate Name

Rep. Steve ScaliseOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2014
☒ Primary ☐ General
☐ Other (specify) ▼

State: LA District: 01

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
08		15		2014

Transaction ID : 21947246

Amount of Each Disbursement this Period

2500.00

Contribution

SUBTOTAL of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

4500.00

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SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Heidi For Senate

Mailing Address PO Box 1577

City	State	Zip Code
Bismarck	ND	58502

Purpose of Disbursement
Contribution

011

Candidate Name

Sen. Heidi HeitkampCategory/
Type

Office Sought:	<input type="checkbox"/> House
	<input checked="" type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2018
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: ND District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
08		26		2014

Transaction ID : 21954236

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Pearce for Congress

Mailing Address P.O. Box 2696

City	State	Zip Code
Hobbs	NM	88241

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Steve PearceCategory/
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input type="checkbox"/> Primary <input checked="" type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: NM District: 02

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
08		26		2014

Transaction ID : 21954258

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Friends Of John Barrow

Mailing Address PO Box 1001

City	State	Zip Code
Augusta	GA	30903

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. John BarrowCategory/
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input type="checkbox"/> Primary <input checked="" type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: GA District: 12

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
08		26		2014

Transaction ID : 21954261

Amount of Each Disbursement this Period

1000.00

Contribution

SUBTOTAL of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

3000.00

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
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(check only one)

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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Jeanne Shaheen For Senate

Mailing Address PO Box 1510

City	State	Zip Code
Manchester	NH	03105

Purpose of Disbursement
Contribution

011

Candidate Name

Sen. Jeanne ShaheenCategory/
Type

Office Sought:	<input type="checkbox"/> House
	<input checked="" type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: NH District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
08		26		2014

Transaction ID : 21954263

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Montanans For Tester

Mailing Address PO Box 3171

City	State	Zip Code
Billings	MT	59103

Purpose of Disbursement
Contribution

011

Candidate Name

Sen. Jon TesterCategory/
Type

Office Sought:	<input type="checkbox"/> House
	<input checked="" type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2018
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: MT District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
08		26		2014

Transaction ID : 21954264

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Bill Shuster For Congress

Mailing Address PO Box 27

City	State	Zip Code
Hollidaysburgh	PA	16648

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. William Franklin ShusterCategory/
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input type="checkbox"/> Primary <input checked="" type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: PA District: 09

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
08		26		2014

Transaction ID : 21954265

Amount of Each Disbursement this Period

2000.00

Contribution

SUBTOTAL of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

4000.00

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**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mulvaney For Congress

Mailing Address P.O. Box 1975

City	State	Zip Code
Lancaster	SC	29721

Purpose of Disbursement
Contribution

Candidate Name

Rep. Mick MulvaneyOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2014
☐ Primary ☒ General
☐ Other (specify) ▼

State: SC District: 05

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
08		26		2014

Transaction ID : 21954266

Amount of Each Disbursement this Period

2000.00

Contribution

Full Name (Last, First, Middle Initial)

B. New Democrat Coalition PAC

Mailing Address 1255 C Street, SE

City	State	Zip Code
Washington	DC	20003

Purpose of Disbursement
Contribution

Candidate Name

New Democrat Coalition PACOffice Sought: ☐ House
☐ Senate
☐ PresidentDisbursement For:
☐ Primary ☐ General
☐ Other (specify) ▼

State: District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
08		26		2014

Transaction ID : 21954267

Amount of Each Disbursement this Period

2500.00

Contribution

Full Name (Last, First, Middle Initial)

C. Andy Barr For Congress, Inc.

Mailing Address PO Box 2059

City	State	Zip Code
Lexington	KY	40588

Purpose of Disbursement
Void 6/20/2014 Contribution

Candidate Name

Rep. Garland BarrOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2014
☐ Primary ☒ General
☐ Other (specify) ▼

State: KY District: 06

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
08		29		2014

Transaction ID : 22008481

Amount of Each Disbursement this Period

-1000.00

Void 6/20/2014 Contribution

SUBTOTAL of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

3500.00

18000.00
